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PTO/SB/01A (10-00).

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## DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

<b>Title of Invention</b>	COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF BREAST CANCER
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As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/010,742, filed on November 30, 2001,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

### FULL NAME OF INVENTOR(S)

Inventor one: Davin C. Dillon Citizen of: U.S.

Signature: *Davin C. Dillon* Date: 2/11/02

Inventor two: Craig H. Day Citizen of: U.S.

Signature: *Craig H. Day* Date: 2/12/2002

Inventor three: Yuqiu Jiang Citizen of: China

Signature: *Yuqiu Jiang* Date: 2/11/2002

Inventor four: Raymond L. Houghton Citizen of: U.S.

Signature: *Raymond L. Houghton* Date: 2/14/02

☒ Additional inventors are being named on 1 additional form attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

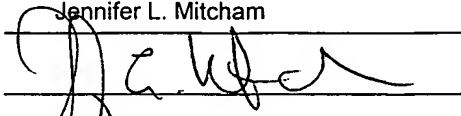
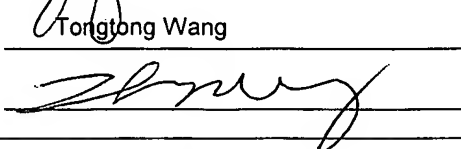
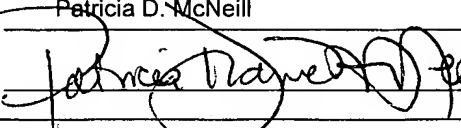
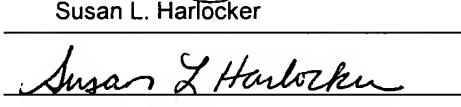
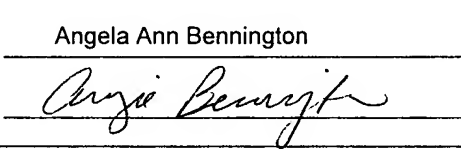
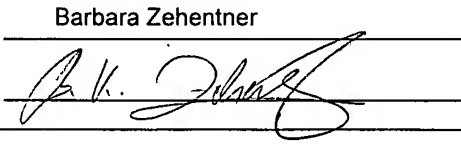
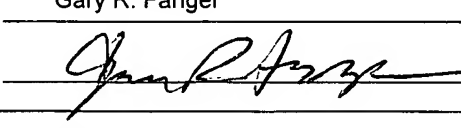
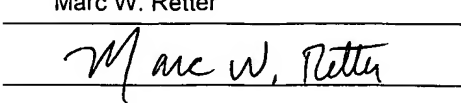


**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

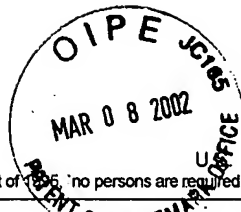
**ADDITIONAL INVENTOR(S)  
Supplemental Sheet**

Page 2 of 2

**FULL NAME OF INVENTOR(S)**

Inventor five	<u>Jennifer L. Mitcham</u>	Citizen of:	<u>U.S.</u>
Signature:	<u></u>	Date:	<u>2/12/2002</u>
Inventor six	<u>Tongtong Wang</u>	Citizen of:	<u>U.S.</u>
Signature:	<u></u>	Date:	<u>2/11/02</u>
Inventor seven	<u>Patricia D. McNeill</u>	Citizen of:	<u>U.S.</u>
Signature:	<u></u>	Date:	<u>2-13-2002</u>
Inventor eight	<u>Susan L. Harlocker</u>	Citizen of:	<u>U.S.</u>
Signature:	<u></u>	Date:	<u>2/13/02</u>
Inventor nine	<u>Angela Ann Bennington</u>	Citizen of:	<u>U.S.</u>
Signature:	<u></u>	Date:	<u>2/11/02</u>
Inventor ten	<u>Barbara Zehentner</u>	Citizen of:	<u>Germany</u>
Signature:	<u></u>	Date:	<u>2/11/2</u>
Inventor eleven	<u>Gary R. Fanger</u>	Citizen of:	<u>U.S.</u>
Signature:	<u></u>	Date:	<u>2/14/02</u>
Inventor twelve	<u>Marc W. Retter</u>	Citizen of:	<u>U.S.</u>
Signature:	<u></u>	Date:	<u>2/12/02</u>

☐ Additional inventors are being named on \_\_\_ additional form attached hereto.



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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Davin C. Dillon et al.

Application No./Patent No.: 10/010,742 Filed/Issue Date: November 30, 2001

Entitled: COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF BREAST CANCER

Corixa Corporation

(Name of Assignee)

a

corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

22 Feb 2002  
Date

Kathleen Nora McKereghan

Typed or printed name

Kathleen Nora McKereghan  
Signature

**Senior Vice President, General Counsel  
and Secretary**

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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MAR 08 2002

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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>ELECTION AND POWER OF ATTORNEY OR AUTHORIZATION OF AGENT</b>	Application Number	10/010,742
	Filing Date	November 30, 2001
	First Named Inventor	Davin C. Dillon
	Group Art Unit	
	Examiner Name	
	Attorney Docket Number	210121.491C7

I hereby appoint:

☒ Practitioners at Seed IP Law Group PLLC

OR

☐ Practitioner(s) named below:



00500

PATENT TRADEMARK OFFICE

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).*

☒ As assignee of record of the entire interest hereby elect, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventor

**SIGNATURE of Applicant or Assignee of Record**

Name	Kathleen Nora McKereghan
Signature	
Date	22 Feb 2002

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

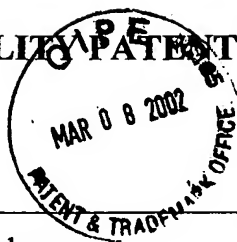
☐ \*Total of \_\_\_\_\_ forms are submitted.

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251343 [01-14-01]

# ASSIGNMENT OF UTILITY PATENT APPLICATION

WHEREAS, we,



Name	Post Office Address	
Davin C. Dillon	18112 Northwest Montreux Drive, Issaquah, Washington 98027	;
Craig H. Day	19020 Wallingford Avenue North, Shoreline, Washington 98133	;
Yuqiu Jiang	5001 South 232 <sup>nd</sup> Street, Kent, Washington 98032	;
Raymond L. Houghton	2636 – 242 <sup>nd</sup> Place Southeast, Bothell, Washington 98021	;
Jennifer L. Mitcham	16677 Northeast 88 <sup>th</sup> Street, Redmond, Washington 98052	;
Tongtong Wang	8049 Northeast 28 <sup>th</sup> Street, Medina, Washington 98039	;
Patricia D. McNeill	1333 South 290 <sup>th</sup> Place, Federal Way, Washington 98003	;
Susan L. Harlocker	7522 13 <sup>th</sup> Avenue Northwest, Seattle, Washington 98117	;
Angela Ann Bennington	3945 1 <sup>st</sup> Avenue NE #1, Seattle, Washington 98105	;
Barbara Zehentner	4420 Bluff Lane, Bainbridge Island, Washington 98110	;
Gary R. Fanger	15906 29 <sup>th</sup> Drive SE, Mill Creek, Washington 98012	; and
Marc W. Retter	33402 NE 43 <sup>rd</sup> Place, Carnation, Washington 98014	;

(hereinafter referred to as ASSIGNORS), having post office addresses as listed above next to our names, are the joint inventors of an invention entitled:

## COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF BREAST CANCER

which is described and claimed in the specification and claims of continuation-in-part (C-I-P) Patent Application No. 10/010,742 as filed in the United States Patent and Trademark Office on November 30, 2001 ("this application") for which a patent is sought. This application derives benefit from the following application(s):

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number	Attorney Docket Number
09/910,689	July 20, 2001		210121.491C6
09/778,320	February 6, 2001		210121.491C5
09/571,025	May 15, 2000		210121.491C4
09/545,068	April 7, 2000		210121.491C3
09/523,586	March 10, 2000		210121.491C2
09/510,662	February 22, 2000		210121.491C1
09/451,651	November 30, 1999		210121.491

WHEREAS, Corixa Corporation (hereinafter referred to as ASSIGNEE), a corporation of the State of Delaware having a place of business at 1124 Columbia Street, Suite 200, Seattle, Washington 98104, is desirous of acquiring the entire right, title and interest in and to said invention, this application, and in and to any Letters Patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE, the entire right, title and interest in and to said invention, this application and any and all Letters Patent which may be granted therefor in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from this application and said parent application(s) to which said foreign applications are entitled by virtue of international convention, treaty or otherwise; said invention, this application and all Letters Patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made.

ASSIGNORS hereby authorize and request the Director of the Patent and Trademark Office to issue said United States Patent to ASSIGNEE, of the entire right, title and

interest in and to the same, for its sole use and benefit, and for the use and behalf of its legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign Patent on said invention, for litigation regarding said Patent, or for the purpose of protecting title to said invention or Patent therefor.

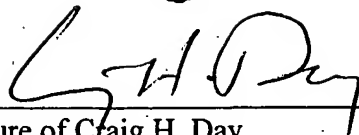
2/11/02  
Date  
WASHINGTON  
State of )  
KING ) ss.  
County of )

D. C. Dillon  
Signature of Davin C. Dillon

I certify that I know or have satisfactory evidence that Davin C. Dillon is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 11, 2002  
Signature of Notary Public Deirdre I. Bryan  
Printed Name DEIRDRE I. BRYAN  
My appointment expires 9/1/02

Date 2/12/2002

  
Signature of Craig H. Day

State of WASHINGTON )

County of KING ) ss.

I certify that I know or have satisfactory evidence that Craig H. Day is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 12, 2002

Signature of Notary Public 

Printed Name DEIRDRE I. BRYAN

My appointment expires 9/1/02

Date 2/11/2002

  
Signature of Yuqiu Jiang

State of Washington )

County of King ) ss.

I certify that I know or have satisfactory evidence that Yuqiu Jiang is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 11, 2002

Signature of Notary Public 

Printed Name DEIRDRE I. BRYAN

My appointment expires 9/1/02



2/14/02  
Date

Raymond L. Houghton  
Signature of Raymond L. Houghton

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Raymond L. Houghton is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 14, 2002

Signature of Notary Public Deirdre I. Bryan

Printed Name \_\_\_\_\_

My appointment expires 9/1/02

2/12/2002  
Date

J. L. Mitcham  
Signature of Jennifer L. Mitcham

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Jennifer L. Mitcham is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 12, 2002

Signature of Notary Public Deirdre I. Bryan

Printed Name DEIRDRE I. BRYAN

My appointment expires 9/1/02

Date 2/11/02 Signature of Tongtong Wang [Signature]  
State of WASHINGTON )  
County of KING ) ss.

I certify that I know or have satisfactory evidence that Tongtong Wang is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 11, 2002  
Signature of Notary Public [Signature]  
Printed Name DEIRDRE I. BRYAN  
My appointment expires 9/1/02

Date 2-13-2002 Signature of Patricia D. McNeill [Signature]  
State of WASHINGTON )  
County of KING ) ss.

I certify that I know or have satisfactory evidence that Patricia D. McNeill is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 13, 2002  
Signature of Notary Public [Signature]  
Printed Name DEIRDRE I. BRYAN  
My appointment expires 9/1/02

Date 2/13/02

Susan L. Harlocker  
Signature of Susan L. Harlocker

State of WASHINGTON )

County of KING )

ss.

I certify that I know or have satisfactory evidence that Susan L. Harlocker is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

February 13, 2002  
Deirdre I. Bryan  
**DEIRDRE I. BRYAN** 9/1/02

Date 2/11/02

Angela Ann Bennington  
Signature of Angela Ann Bennington

State of Washington )

County of King )

ss.

I certify that I know or have satisfactory evidence that Angela Ann Bennington is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.


Dated February 11, 2002

Signature of Notary Public Deirdre I. Bryan

Printed Name DEIRDRE I. BRYAN

My appointment expires 9/1/02

Date 02/11/02

Signature of Barbara Zehentner 

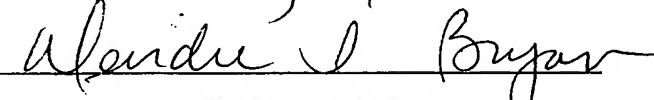
State of WASHINGTON )

County of KING )

ss.

I certify that I know or have satisfactory evidence that Barbara Zehentner is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.

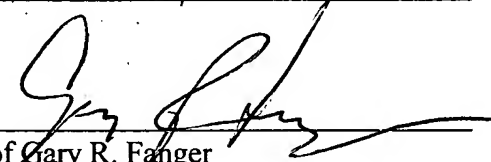
Dated February 11, 2002

Signature of Notary Public 

Printed Name DEIRDRE I. BRYAN

My appointment expires 9/1/02

Date 2/14/02

Signature of Gary R. Fanger 

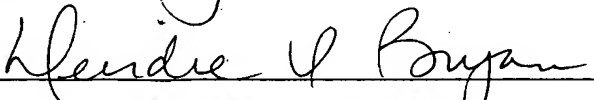
State of WASHINGTON )

County of KING )

ss.

I certify that I know or have satisfactory evidence that Gary R. Fanger is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 14, 2002

Signature of Notary Public 

Printed Name DEIRDRE I. BRYAN

My appointment expires 9/1/02

Date 2/12/02

Marc W. Retter  
Signature of Marc W. Retter

State of WASHINGTON )

County of KING ) ss.

I certify that I know or have satisfactory evidence that Marc W. Retter is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated February 12, 2002

Signature of  
Notary Public Deirdre I Bryan

Printed Name DEIRDRE I BRYAN

My appointment expires 9/1/02

251349 Docket No. 210121.491C7